



BROWN & WOOD LLP

ONE WORLD TRADE CENTER  
NEW YORK, NY 10048-0557

TELEPHONE: 212-839-5300  
FACSIMILE: 212-839-5599

RECEIVED

AUG 31 2000

TC 2700 MAIL ROOM

GP# 2782

#  
3

Hon. Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

Date: August 23, 2000  
Our Docket No.: DT-3360

APPLICANT: Christian Tschudin  
SERIAL No.: 09/526,117  
FILED : March 15, 2000  
FOR: METHOD AND APPARATUS FOR PROCESSING AND  
FORWARDING DATA PACKETS  
GROUP : 2782

Sir,

Applicant(s) submits herewith a certified copy of the following basic applications,  
the priority of which is claimed under 35 USC 119:

<u>COUNTRY</u>	<u>NUMBER</u>	<u>FILING DATE</u>
SWITZERLAND	99 810 833.6	September 20, 1999

Respectfully submitted,

*Alexander Zinchuk*  
/ALEXANDER ZINCHUK/ Reg. No. 30,571  
for David Toren, Reg # 19,468

I hereby certify that this correspondence is being deposited with the United States Postal Service  
as first class mail in an envelope addressed to: Hon. Commissioner of Patents and Trademarks,  
on August 23, 2000.

*Alexander Zinchuk*

This Page Blank (v)



**Europäisches  
Patentamt**

**European  
Patent Office**

**Office européen  
des brevets**

**Bescheinigung**

**Certificate**

**Attestation**

Die angehefteten Unterla-  
gen stimmen mit der  
ursprünglich eingereichten  
Fassung der auf dem näch-  
sten Blatt bezeichneten  
europäischen Patentanmel-  
dung überein.

The attached documents  
are exact copies of the  
European patent application  
described on the following  
page, as originally filed.

Les documents fixés à  
cette attestation sont  
conformes à la version  
initialement déposée de  
la demande de brevet  
européen spécifiée à la  
page suivante.

**Patentanmeldung Nr. Patent application No. Demande de brevet n°**

**99810833.6**

Der Präsident des Europäischen Patentamts;  
Im Auftrag

For the President of the European Patent Office

Le Président de l'Office européen des brevets  
p.o.

**I.L.C. HATTEN-HECKMAN**

DEN HAAG, DEN  
THE HAGUE,  
LA HAYE, LE

18/04/00

**This Page Blank (uspto)**



Europäisches  
Patentamt

European  
Patent Office

Office européen  
des brevets

**Blatt 2 der Bescheinigung**  
**Sheet 2 of the certificate**  
**Page 2 de l'attestation**

Anmeldung Nr.:  
Application no.: 99810833.6  
Demande n°:

Anmeldetag:  
Date of filing: 20/09/99  
Date de dépôt:

Anmelder:  
Applicant(s):  
Demandeur(s):  
Tschudin, Christian, Prof. Dr.  
4053 Basel  
SWITZERLAND

Bezeichnung der Erfindung:  
Title of the invention:  
Titre de l'invention:

Method and apparatus for processing and forwarding data packets

In Anspruch genommene Priorität(en) / Priority(ies) claimed / Priorité(s) revendiquée(s)

Staat:  
State:  
Pays:

Tag:  
Date:  
Date:

Aktenzeichen:  
File no.  
Numéro de dépôt:

Internationale Patentklassifikation:  
International Patent classification:  
Classification internationale des brevets:

H04L12/56

Am Anmeldetag benannte Vertragsstaaten:  
Contracting states designated at date of filing: AT/BE/CH/CY/DE/DK/ES/FI/FR/GB/GR/IE/IT/LI/LU/MC/NL/PT/SE  
Etats contractants désignés lors du dépôt:

Bemerkungen:  
Remarks:  
Remarques:

This Page Blank (uspto)

**BEST AVAILABLE COPY**

Prof. Dr. Christian Tschudin, CH-Basel

1

Method and apparatus for processing and forwarding data  
packets

---

5 DESCRIPTION

The present invention relates to a method for processing and forwarding data packets using at least one route table.

10 The current standard architecture for a data packet router in a computer network comprises a packet classification module, a routing module and a packet scheduler module. As a first step, an incoming data packet is assigned a class by the classification module and possibly  
15 also predefined processing is applied to it, such as checking the source address, changing or adding some header fields, decrementing the time-to-live (TTL) field, dropping it if the TTL value reaches 0 etc. As a second step, the routing module uses the resulting class and packet header to evaluate the  
20 packet's further route. For this purpose it contains a forwarding information base which usually has the form of a route table and merely serves as "signpost" for the data packets to be transmitted. Next, additional processing may apply to the packet, before the packet is put, as a third  
25 main step, in at least one packet queue that is controlled by the packet scheduler. Streamlined variants of the above process exist, where a packet is directly copied from the incoming network interface card that may have its own forwarding information base to an outgoing interface card.

30 This standard procedure, the so-called "fast data path" of a router, is illustrated in Fig. 1. Whereas the route table, i.e. the "signpost" for data packets, can be dynamically updated, the procedure itself is a static  
35 pipeline operating on incoming data packets. The set of

instructions applied to a packet is rather limited and predetermined by the packet's type (class). Reconfiguration of a data router, e.g. said updating of the route table, is achieved by special purpose "signaling" protocols. Data packets that belong to such a protocol are removed from the fast data path and are passed to external processing modules capable of handling the signaling protocol.

Active networks add programmability to a router while still adhering to the same architecture (see Fig. 2): The router hosts one or more execution entities  $EE_1$  to  $EE_n$  which are responsible for interpreting program instructions contained in "active packets", namely data packets that themselves contain the program to be applied to them, or other signaling information.

At a high level of abstraction, the control flow for a single packet inside a traditional and possibly active router in this standard approach can be depicted as shown in Figure 3. A program store drives the Central Processing Unit (CPU) and the CPU reads from the route table for making routing decisions. Accessing the route table is necessary for almost every data packet that enters the system. Actual routers may have multiple CPUs, program and data stores.

If a whole classical routing system is regarded from the data flow architecture point of view, it represents an example of the data flow model: Data items are processed by stationary instructions. This is in contrast to the "von Neumann" computing model which is the dominant model for traditional computing. The "von Neumann" model is characterized by one or more control flows in motion that operate on data residing in explicitly addressed memory places.



It is the object of the present invention to provide a method that enables to process data packets in a computer network in the fast data path while simultaneously allowing to dynamically reprogram the router and to provide at the same time a new method for the execution of programs that makes parallel processing possible either in a data flow or in a "von Neumann" architecture.

This object is achieved by means of the method according to the characterizing part of claim 1.

It is a further object of the invention to provide a apparatus for the processing of data packets in the fast data path while it can be dynamically reprogrammed at the same time, namely an apparatus according to claim 13.

Advantageous embodiments of the method and router according to the invention become evident from the dependent claims.

According to the invention, at least one routing table is provided that comprises entries containing operation code or a program for the execution of an operation. In this way, the programmable packet processing method of the present invention replaces the routing module of classical packet routers and merges it with the execution entity modules as previously introduced. Figure 4 shows, on the same level of abstraction as Figure 3, this merging and the resulting control path for data packets. The method and apparatus according to the invention make it possible that standard operating and routing of data packets and dynamic reprogramming of the router take place in the same fast data path. Thus, reprogramming as well as routing is faster and handled more uniformly than by the methods and devices known so far.

Further, an incoming data packet preferably contains itself the information on what operation is executed on it by having assigned a selector, i.e. an indexing datum to be  
5 matched with a route table input index field, that matches a route table input index field that belongs to a certain operation to be executed on the packet. Therefore, any packet most naturally plays an active role instead of the passive role of the data packets in standard routing methods upon  
10 which pre-defined operations are executed. A selector may even refer to an operation that transfers an other operation stored within the packet to the routing table and thus activates it. In this way, the concept of "active packets" is naturally embedded by the invention in the classical routing  
15 concept.

A further advantage of the method according to the present invention is that it allows the routing module to particularly quickly access information about the processing  
20 to be applied to a packet and its path since all the required information is contained in one selector field which may be a predefined bit field in the header of the packet. Conventional routing includes a relatively time consuming search for relevant information within a packet header.

25 A still further advantage of the present invention is that it is completely compatible to prior art routing and that the forwarding behavior of a classical routing module can be provided.

30 The method according to the invention, in addition to being a method for routing of packets containing simple data, also enables the execution of arbitrary programs. From the data flow architecture point of view, the execution model  
35 according to the present invention is an alternate computing

model to the "von Neumann" model and is a hybrid with elements of a data flow- as well as of a "von Neumann"-model approach. A structural similarity to a data flow machine is given by the fact that instructions are stored inside the route table while data items (i.e. selector+packet tokens) flow through these operations. However, the method according to the invention can also host a "von Neumann" style of program by having one selector+packet token represent one flow of control. Each control flow then picks one instruction after the other, it therefore operates on the token's data as well as on the route table itself.

The method according to the invention easily and naturally enables parallel computing. It just has to be allowed for the possibility that different tokens are matched to different route table entries at the same time and the corresponding operations are executed simultaneously. Parallel computing is even better be taken advantage of if the matching of tokens with route table entries is carried out in a non-deterministic instead of in a deterministic way.

Finally, the method according to the present invention allows to implement distributed processing on different processing entities in a rather straightforward manner.

In the following, a detailed description of an embodiment of the present invention, namely a routing module, is given with reference to Figure 5, which schematically depicts a bloc diagram of this embodiment of the method according to the invention.

The routing module to be described in the following is based on four elements:

- (a) A plurality of tokens of the form  $\langle sel, pkt \rangle$ , where  $sel$  is a selector (or "tag") serving as indexing datum and  $pkt$  is a data packet,
- (b) a multi-set ("token bag") for storing tokens,
- 5 (c) a route table consisting of entries, each containing the following fields:

$sel_{in}$	$c$	$sel_{out}$	$i$
------------	-----	-------------	-----

- 10 where  $sel_{in}$  is an in-selector value serving as input index field,  $c$  an operation code,  $sel_{out}$  an out-selector value serving as output index field and  $i$  an additional state.  $i$  may contain information, such as an additional selector value, queuing information or other additional processing information, to be used depending on the
- 15 status of the packet to be processed.
- (d) a control unit (CU).

This new routing module operates as follows:

- 20 1. A  $\langle sel, pkt \rangle$  token arrives from the packet classification module and is put into the multi-set.
2. The control unit picks and removes a token from the multi-set.
- 25 3. The token's selector value  $sel$  is used to locate all entries in the route table that have a matching  $sel_{in}$  field. Tokens for which no matching in-selector values can be found are discarded. Alternatively, they are
- 30 processed by a default processing routine.
4. For each matching entry, the corresponding operation  $c$  is performed:

- If the operation is a FORW (forward) operation, the token's packet data is put into a queue of the subsequent packet scheduler module. Information about which queue to use is either stored in the entry's state field *i*, is computed from the packet's data, or is otherwise provided.
- If the operation is a HALT operation, the token is destroyed and no output token is generated.
- For any other operation, one or more new tokens are generated that contain the possibly modified packet data of the input token. The new tokens' *sel* values are either copied from the *sel<sub>out</sub>* field of the route table entry, or otherwise computed.

5. New tokens, if any were generated, are put in the multi-set.

6. Processing continues with step 1 or 2.

The prior art's routing module's role is to map data packets, based on classifications and/or packet header fields, to the packet queues of the packet scheduler module. This forwarding behavior of the prior art's routing module can also be provided by the above specified new routing module. To do that, the following steps have to be carried out:

Unicast forwarding:

- (a) The packet classifier (c.f. figures 1 and 2) is configured such that it provides a selector for each data packet type. Unclassifiable packets are assigned a default selector. The packets are subsequently put in the multi-set ("token bag") depicted in Fig. 5.
- (b) The routing table is configured such that each potential selector value has exactly one entry.

(c) A special operation code  $c$  is defined and an associated procedure is implemented in the route table and an entry is defined whose  $sel_{in}$  value corresponds to the default selector. The procedure thus treats the packets that  
5 were classified in the default category and which therefore need special matching rules (e.g. longest prefix for IP addresses: Such an operation most likely makes use of the entry's additional state  $i$ ). The said operation either outputs a new token whose selector  
10 value indexes another entry in the route table that contains the FORW operation and puts this token in the token bag, or it directly performs the FORW.

Multicast forwarding:

15 The same approach as above is used, except that multiple entries exist in the route table which have the same  $sel_{in}$  value. Two cases are possible:

- (1) The classifier assigns such an ambiguous selector value. Steps 3 and 4 will automatically take care of multiplying  
20 the incoming data packet,
- (2) The classifier assigns an unambiguous selector. However, one or more of the subsequent operations  $c$  create a new token with a selector value for which multiple entries exist.

25 Applied in the above way for routing, the routing module works as a data flow computing device. A structural similarity to a data flow machine is given by the fact that instructions are stored inside the route table while tokens  
30 "flow" through these operations. Also, selectors resemble the tags of data flow machines that identify the state and position of a token. However, we note that the matching and execution rules are different from classical data flow architectures (data-driven vs. demand-driven) as tokens can  
35 be discarded if there is no matching entry in the route

table. Also, selectors are explicitly handled by the programs themselves instead of being an internal aspect of data flow execution.

5        In addition to being a further development of a classical routing module, the new routing module also enables the execution of arbitrary programs by the virtue of the repeated execution of instructions according to the steps 3 and 4. This can be done as follows:

- 10
- Each thread of execution is mapped to one `<sel,pkt>` token.
  - The program instructions are stored as operations in the route table.
  - A token's selector value points to the next instruction to process. It plays the role of the "program counter" of other computing devices. Instructions which generate an output token are therefore required to choose the new selector value such that it points to the next instruction to be processed. This may be done by choosing the selector contained in the `selout` field of route table entries or by computing the new `sel` value.
- 15
- Execution of a program flow ends when a selector value is matched with a route table entry containing an operation that does not generate an output token or when the
- 20
- resulting token has no matching entry.
- 25

For executing programs for general purposes, the set of instructions has to contain minimal support for branching as well as memory access, allowing to conditionally divert program flows and to implement procedure calls:

- 30
- An instruction that is able to output tokens with different output selector values suffices to implement branching. The resulting selector value may depend on the
- 35
- token's packet data and/or any other state in the router,

including the route table, the packet classifier and packet scheduler, and/or may even be assigned randomly.

- Instructions to add, read, change and remove complete entries in the route table provide memory access. It is  
5 interesting to notice that such instructions to add, read and remove entries from the route table turn the present invention's routing module into a Turing complete computing device.
- Together with instructions to store and retrieve selector  
10 values, e.g. inside a token's data packet, inside the route table, or in other places, the branching instructions enable procedure calls.

15 If the method according to the invention is used in the way described above, it essentially is a "von Neumann" computing device. As each control flow picks one instruction after the other, it operates on the token's data as well as on the route table itself. This operation mode will be discussed further below more concretely by way of examples 3  
20 and 4.

Using the above described tools, the method according to the invention also most naturally leads to parallel  
25 computing. One has only to allow for the possibility that different tokens are matched with different route table entries simultaneously and to start with more than one token representing a program flow. For the case of the parallel execution of program flows, basic synchronization primitives must be provided:

- By switching off the eligibility of tokens to be picked by the CU, i.e. by temporarily removing tokens from the multi-set ("token bag"), execution flows can be suspended.
- Special instructions are provided to make suspended tokens  
35 re-eligible for execution, either explicitly (barriers,



queues) and/or by environmental changes (e.g. a timeout or a condition to be fulfilled).

For some applications based on parallel computing it may be attractive not to predetermine the selection of route table entries that match a given token. In this case, the selection of these route table entries will be carried out by the machine instead of the programmer and will therefore be non-deterministic instead of deterministic. As a consequence, the processor or the processors can optimize its/their workload and thus enable even faster processing.

By means of the above specified tools, the programmable routing module outlined above enables a superset of classic router functionality as well as arbitrary programming to be implemented. It, however, is by no means the only embodiment of the invention and can be extended or modified in many respects.

Instead of one route table as described above, multistage route tables or a plurality of route tables can be provided. In such a case it is for instance possible to map every execution entity ( $EE_i$ ) of a prior art routing module onto one route table and in this way to be able to make use of the wealth of tools developed for the prior art routers. A selector of a token will then not only select the route table entry but also the route table of which the entry is part. In this way, a packet can jump between the different route tables, depending on its selector, the  $sel_{out}$  values contained in the route table and/or other information. Therefore, operations contained in different route tables, and for instance one operation out of every route table, can be executed on a single packet in its path. Alternatively, if, for instance,  $k$  route tables are present, the selector of a

token could also be divided into  $k$  parts, each of which refers to an other route table.

One route table entry can also contain more than one operation. In such a case, preferably all route table entries will have the same number of operations. Further, also additional fields or attributes such as fields for the priority, counters, access control lists, certificates,... may be provided for.

Operation code or a program contained in a route table entry can also exhibit a reference to an externally installed subroutine or any other software and/or hardware based device serving as an extension of said operation code or program. Further, there may be route table entries that, depending on the selector values and possibly also on the packet data of incoming tokens, can implement changes to these extensions as well as to other modules such as a packet classifier, a control unit or a scheduler of a router.

A route table is a table in the conceptual sense and does not have to be a table in the literal sense. Therefore, it can have a data structure that is different from a table structure and, for instance, have the structure of an array of records or a linked list of memory zones. It can also be in a compressed form and comprise auxiliary data structures, for instance hash tables, or other lookup mechanisms to access the route table entries.

The tokens do not need to have a  $\langle sel, pkt \rangle$  form. The selector information can also be contained explicitly or implicitly in the data packet and therefore has to be extracted or calculated from its contents. For many system architectures it will also be advisable to give the tokens additional attributes, such as suspended flag, processing

queue, priority, credentials, access rights, certificates etc. In such additional attributes it can for instance be laid down that a packet is not allowed to make changes to the route table, that it is to be processed only after a certain condition is fulfilled, etc.

A variety of possible further embodiments of the invention concerns the data flow architecture. As explained above, the present invention relates to an execution model (Fig. 5) which is a hybrid with elements drawn from both, the "von Neumann" and from the data flow side.

This hybrid approach is well in-line with the less strict view on data flow architectures that has emerged in recent years (multithreaded computers). However, in the present method for data packet processing and forwarding, tokens can flow in the network. Thus, data flow items are not confined anymore to one central processing unit but are transportable over the network. The selector concept, together with the "programmable route table" and the execution loop model of Figure 5, are the key enabler for this approach. The method according to the invention is therefore also highly suited to be implemented using multiple processing elements.

An apparatus according to the invention, namely a router, comprises the following elements:

- A device for receiving, processing and forwarding data, for instance a computer equipped with appropriate interfaces.
- An implementation of the method for data packet processing and forwarding according to the invention on said device, for instance a program stored on the computer or a microprocessor the architecture of which is such that it supports the data flow and control flow architecture of the method according to any of claims 1 to 12 and

particularly that it supports the data and control flow as schematically depicted in Fig. 5.

5 While previously the method and apparatus according to the invention were discussed in a rather abstract way, in the following a few examples for router table stored programs are given in order to make the invention concrete. The examples refer to the routing module comprising one route table having entries with four fields described above as embodiment of the  
10 invention.

#### **Example 1: Forwarding Branch**

15 Using a PASCAL like notation, we aim at implementing the following packet handling program with the new routing module:

```
PROC example_one(s: selector);  
CONST t: selector;  
20 BEGIN  
    IF exists a route table entry with in-selector s THEN  
        drop front packet header;  
        forward via selector s  
    ELSE  
25        forward via selector t  
    FI  
END.
```

30 where the incoming packet has the following layout

(head)[sel s|payload](tail)

and is classified for selector p on entry (thus, initially the token has the form <p,[s|payload]>).

35

This packet format adheres to the convention that parameters for instructions and procedures are stored at the packet's head. Similarly, this convention will be extended for the subsequent examples and the packet's tail will be  
 5 used for a stack of return addresses (selectors).

The following instructions are needed to implement the first example program:

10 - **NOP** token(s: selector)

token() is a pseudo operation that changes a token's selector value to the new value *s* before the token is put back into the token bag.

15 The token() pseudo operation can be realized by the stand-alone instruction NOP (no-operation) whose *sel<sub>out</sub>* field has the value *s*:

<i>sel<sub>in</sub></i>	NOP	<i>s</i>	-
-------------------------	-----	----------	---

- **JCEX** jump\_on\_existence(*a*, *b*, *c*: selector)

20 A conditional jump is made i.e., the output token receives a new selector value depending on the content of the route table:

25     *IF exists a route table entry with in-selector a THEN*  
        *token (b)*  
        *ELSE*  
           *token (c)*  
        *FI*

30 By convention it is assumed that parameter *a* is stored as the first header field inside the token's packet data as described above, while *b* and *c* are stored in the route table entry of the JCEX instruction instance.

- **JH** jump\_to\_header()

The token's new selector value is taken from the token's packet header, and the packet length is trimmed accordingly:

5

```
VAR s: selector;
s := pop front of packet header
token (s);
```

10 Using these three instructions, the forwarding branch procedure example-one() is implemented by the following route table content:

<i>sel<sub>in</sub></i>	OP	<i>sel<sub>out</sub></i>	addtl. state	
<i>p</i>	JCEX	<i>t<sub>1</sub></i>	<i>t<sub>2</sub></i>	jmp to <i>t<sub>1</sub></i> if hdr field (s) is known, else jmp to <i>t<sub>2</sub></i>
<i>t<sub>1</sub></i>	JH	-	-	pop hdr field and jump there (s)
<i>t<sub>2</sub></i>	FORW	-	queue id	forward
<i>s</i>	FORW	-	queue id	forward

15 Packets arrive classified for selector *p*. Thus, program execution starts with the first line of the table above. Note that the last line of the table above may or may not be present: The program will take care of correctly forwarding packets in both cases.

20

#### **Example 2: Recursive Procedure Call**

25

In this example, a procedure will recursively be called that pops a header field until it encounters a header field with a specific value *m*. The program should thus work like the following

17

```

PROC example_two();
CONST m: selector;
VAR s: selector;
BEGIN
5      s := pop packet header;
      IF NOT (s = m) THEN
          example_two()
      FI
END.

```

10

where the incoming packet has the following layout:

$[s_1|s_2|\dots|m|\text{payload}]$ .

15

In order for the "return addresses"  $r_i$  of procedure calls to be stored, they will be appended to the data packet's tail:

$[\dots|\text{payload}|r_1|\dots|r_n]$

20

The following additional instructions are needed for this example program:

- **JC** jump\_conditional (a, b: selector)

25

Conditionally jumps to selector a, i.e. the output token has a as its selector value, if the packet's first header field is not the null selector. Otherwise, execution continues at selector b (the output token obtains the selector value b).

30

- **JT** jump\_to\_tail()

Pops the outermost tail field of the data packet which becomes the output token's new selector value. The data packet's length is reduced accordingly.

35

- **POPH** pop\_header()  
Removes (drops) the first header field of the data packet
- **PUSHT** push\_tail(selector s)  
Extends the data packet by the selector value s.
- **XOR** xor(s: selector)  
Performs a bit-wise XOR operation on the packet's first header field with s.

The following route table implements the recursive procedure example-two(). As in the previous example, the token arrives selected for a selector value  $p$ , i.e. it initially has a *sel* value of  $p$ :

<i>sel<sub>in</sub></i>	OP	<i>sel<sub>out</sub></i>	addtl. state	
$p$	PUSHT	$t_0$	$t_6$	save return addr $t_6$ , jmp to proc at $t_0$
$t_0$	XOR	$t_1$	$m$	start of proc: compare with $m$
$t_1$	JC	$t_2$	$t_4$	jump to $t_4$ if equal (i.e. first header field=0)
$t_2$	POPH	$t_3$	-	drop first header field
$t_3$	PUSHT	$t_0$	$t_5$	save return address $t_5$ , jmp to proc at $t_0$
$t_4$	POPH	$t_5$	-	drop first header field
$t_5$	JT	-	-	return from proc call
$t_6$	FORW	-	queue id	forward trimmed packet, end of example program

### Example 3: Stream Programming (Program Downloading)

This example shows a method to store a program inside a remote route table by sending appropriate data packets. This is useful for having "path finder packets" to configure a



remote node by downloading a program that will treat a data stream's subsequent packets.

An external representation of route table entries is required that is self-delimiting. The following instruction depends on such a format:

- **ADDOP** add\_operation(r: route\_table\_entry)

The route\_table\_entry ( $S_{in}$ ,  $OP$ ,  $S_{out}$  and additional state) is popped from the packet's header and placed in the route table. The length of the data packet is accordingly decreased.

- **HALT** halt()

Discards the current token (i.e., ends the current program flow).

The following route table program scans a data packet for route table entries and installs them. For this, the data packet must consist of a sequence of route table entries  $re_i$ , followed by a zero selector field:

$[re_1 | \dots | re_n | 0\text{-sel} | \text{payload}]$

Furthermore, the following program, the "packet handler program", is permanently stored inside the route table. The selector  $DP$  is a well-known selector to be used for invoking the downloading program:

$sel_{in}$	OP	$sel_{out}$	addtl. state	
$DP$	JC	$t_0$	$t_1$	start of download proc: 0-sel?
$t_0$	ADDOP	DP	-	install new table entry, loop
$t_1$	HALT	-	-	end of proc

This download program can be extended by user provided enhancements, allowing to "bootstrap" fancier download procedures. If for example a "confirmed download" service is required, one can use the program above to blindly download the modified download program which, instead of executing the halt() instruction, returns a confirmation packet.

#### Example 4: Active Packets

Instead of having a pre-stored program being applied to data packets, this example shows how to implement in-band programming where the program to be applied to a packet is carried inside the packet itself. Various names are used synonymously for such packets: capsules, messengers or active packets.

One approach consists in extending the stream programming example above in two ways. The first modification relates to the packet format, where we presume that a second (start-) selector value follows the 0-sel of the previous example:

$[re_1 | \dots | re_n | 0\text{-sel} | \text{start-sel} | \text{payload}]$

The second modification concerns the packet handler program:

$sel_{in}$	OP	$sel_{out}$	addtl. state	
AP	JC	$t_0$	$t_1$	active packet proc: 0-sel?
$t_0$	ADDOP	AP	-	install new table entry, loop
$t_1$	POPH	$t_2$	-	drop null selector
$t_2$	JH	-	-	jump to start selector

The disadvantage of this approach is that the in-band program is stripped from the packet, preventing self-routing packets to keep their code base as they travel in an active

network. The second approach below fixes this problem by introducing the following concurrency related instructions:

- **QIN** queue\_in(s: selector)

5     The current token is "put into a token queue", the queue is identified by the selector *s* at the packet's first header position, this header field is removed and the packet length is adjusted accordingly.

10    Only the token which is at the head of the token queue is eligible for execution, other tokens in the queue have to wait until they advance to the head position. Tokens can be in at most one token queue at any time. Switching to another queue implicitly removes the token from its former queue it was in. Terminating a token (e.g. using the HALT

15    operation) also frees the head position of the token's current queue.

- **FORK** fork(a, b: selector)

20    This operation outputs two tokens. Both have the same packet data but different selector values (*a* or *b*). There is no parent/child relation between the forked tokens, although the token with the selector *a* inherits all input token attributes, e.g. position in a token queue, while the attributes of the other token are reset to some default

25    value.

- **DUPH** dup\_head(s: selector)

30    Duplicates the selector *s* at the packet's head. This results in a larger data packet that starts with two identical header fields.

- **DUPT** dup\_tail ()

35    Duplicates the selector at the packet's tail. This results in a larger data packet that ends with two identical tail fields.

Active packets need to have the internal format

[id-sel|re<sub>1</sub>|...|re<sub>n</sub>|0-sel|payload|start-sel]

5

for being processed by the following extended active packet loader program:

<i>sel<sub>in</sub></i>	OP	<i>sel<sub>out</sub></i>	addtl. state	
EAP	DUPH	<i>t</i> <sub>0</sub>	-	extd active pkt loader: dup id sel
<i>t</i> <sub>0</sub>	QIN	<i>t</i> <sub>1</sub>		put thread in the 'id' queue
<i>t</i> <sub>1</sub>	FORK	<i>t</i> <sub>2</sub>	<i>u</i> <sub>0</sub>	fork
<i>t</i> <sub>2</sub>	JC	<i>t</i> <sub>3</sub>	<i>t</i> <sub>4</sub>	install the pkts program: 0-sel?
<i>t</i> <sub>3</sub>	ADDOP	<i>t</i> <sub>2</sub>	-	add new route table entry, loop
<i>t</i> <sub>4</sub>	HALT	-	-	end (and quit the current queue)
<i>u</i> <sub>0</sub>	DUPH	<i>u</i> <sub>1</sub>	-	the forked token, dup id selector
<i>u</i> <sub>1</sub>	QIN	<i>u</i> <sub>2</sub>	-	put thread in the 'id' queue, block
<i>u</i> <sub>2</sub>	DUPT	<i>u</i> <sub>3</sub>	-	dup start selector at the tail
<i>u</i> <sub>3</sub>	JT	-	-	jump to start selector

10       Note that the forked token synchronizes with the main token when the later has finished installing the program. Synchronization is achieved via the queue that is identified by the *id* selector. Preferably, each active packet is assigned its own *id* value in order to avoid synchronization

15       conflicts. Despite the fork() operation, the main token remains at the head of this queue and continues to do so during the install loop. The forked token inserts itself into the same queue, but will occupy the second position, thus block. When the main token halts and thus quits the token

20       queue, the forked token advances to the head position and starts executing the freshly installed program. At this point, the token's packet data is identical to the data that the original token had when it entered the new routing module.

**Example 5: Beyond a Single Router - Distributed Programming  
and a Router Model with Trivial Classification Module**

5        In this example it will be shown that the concept of  
instructions at the route table level that explicitly point  
to the next instruction can be seamlessly extended beyond the  
scope of a single router or route table to a net of  
processing entities. It suffices that a packet is transmitted  
10 together with its token selector value e.g. by choosing the  
following wire format that contains an initial selector  
field:

[init-sel|pkt]

15        The *init* selector and the remaining packet payload are  
the two elements required to form a token: Classification of  
an incoming data packet is reduced to reading in the *init-sel*  
field. Of course, the network architecture that is induced by  
20 such a router model requires that packet classification is  
performed upstream, or ultimately at the edge of such a  
network.

25        With the wire format presented above, selectors can be  
turned into pointers to remote instructions: They allow to  
arbitrarily redirect the execution flow to one or more  
neighbor routers or route tables and to implement distributed  
algorithms. For redirection, one has to replace a route table  
entry by one or more FORW operations that send a packet to a  
30 remote node where processing will continue. The *S<sub>out</sub>* field of  
the table entry containing the FORW operation can then be  
used for specifying the selector for the remote target  
instruction.

*This Page Blank (uspto)*

## CLAIMS

1. A method for processing and forwarding data packets using at least one route table, characterized in that each data packet is assigned a selector serving as indexing datum, the data packet and its selector being parts of a token, that the at least one route table comprises entries containing an input index field and operation code or a program for the execution of an operation, that the selector of a packet is matched with the input index field of the entries of said at least one route table, and that the at least one operation contained in the at least one matched route table entry is executed on the matched token.

2. A method according to claim 1, characterized in that the route table entries further contain an output index field, that at least one multi-set of tokens is maintained, that every matched token is removed from said at least one multi-set, that the packet of such a matched token, depending on the semantics of the operation referenced by the matched route table entry, is forwarded or destroyed or at least one new token is generated and again added to one of said at least one multi-sets, the selector of said at least one new token being copied from the output index field of the matched route table entry or being otherwise computed.

3. Method according to claim 2, characterized in that tokens can be temporarily removed from said at least one multi-set and reinserted later on.

4. Method according to claim 2 or 3, characterized in that a control unit is provided which selects the tokens from the multi-set to be matched with entries of the route table.

5. Method according to any of claims 1 to 4, characterized in that the route table comprises at least one entry containing operation code or a program that can take care of entering parts of the contents of a data packet containing operation code into a route table entry and/or of removing or changing existing route table entries.

6. Method according to any of claims 1 to 5, characterized in that operation code or a program contained in at least one route table entry comprises an extension.

7. Method according to claim 6, characterized in that the route table comprises at least one entry containing operation code or a program that can take care of altering an extension or other modules based on information contained in a data packet.

8. Method according to claim 5 or 7, characterized in that at least one token containing operation code is assigned a program flow and that the operation code and its selector and/or other data stored in this token are formed such that this program flow is executed based on information contained in the token and in the route table.

9. Method according to any of claims 1 to 8, characterized in that tokens for which no match with entries of the route table is possible, are deleted, or that at least one default processing routine is provided and that tokens for which no match with an input index field of an entry of the at least one route table is possible, are processed by one of said at least one default processing routines.

10. Method according to any of claims 1 to 9, characterized in that the at least one route table has a data structure that is different from a table structure and is for



instance the structure of an array of records or a linked list of memory zones, and/or that auxiliary data structures, for instance hash tables or other lookup mechanisms, are provided to access the entries of said at least one route table.

11. Method according to any of claims 1 to 10, characterized in that at least one route table entry contains more than one operation.

12. Method according to any of claims 1 to 11, characterized in that the selection of route table entries that match a given token is non-deterministic.

13. Method according to any of claims 1 to 12, characterized in that a token's indexing datum is embedded in or deductible from the token's data packet.

14. Apparatus for processing and forwarding data packets using a method according to any of claims 1 to 13.

15. Apparatus according to claim 14, characterized in that it comprises at least one microprocessor the architecture of which is such that it specifically supports the data and control flow architecture of the method according to any of claims 1 to 13.

**This Page Blank (uspto,**

## ABSTRACT

The method and the apparatus for processing and forwarding data packets (pkt) in a computer network comprise  
5 at least one route table that contains entries each having an input index field (s-in), an operation code or a program (op) for the execution of an operation and an output selector field (s-out). The data packets (pkt) to be processed are each assigned a selector (sel) serving as indexing datum, the  
10 data packet (pkt) and the selector (sel) together constituting a token. The selector (sel) of a packet is matched with the input index field (s-in) of the entries of said at least one route table and the operation (op) contained in the matched route table entry or route table  
15 entries is/are executed on the matched token. This processing step can be repeated if the operation (op) results in one or more output token/tokens. Since according to the invention, programs to be executed on data packets (pkt) are stored in the route table, data packets (pkt) are directly processed in  
20 the fast data path, while at the same time the router can be dynamically reprogrammed.

(Fig. 5)

**This Page Blank (uspto)**

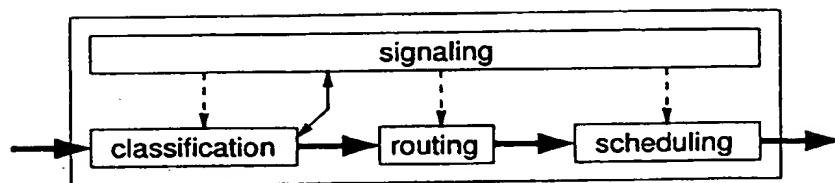


Fig. 1

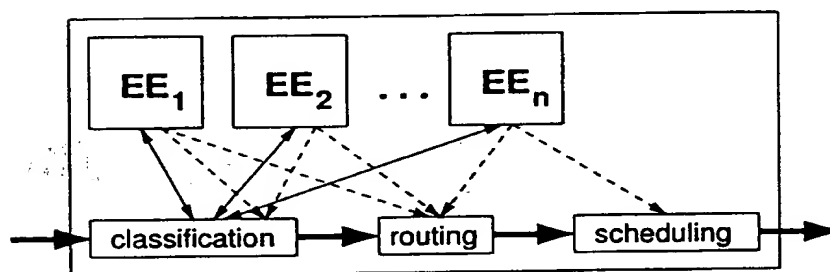


Fig. 2

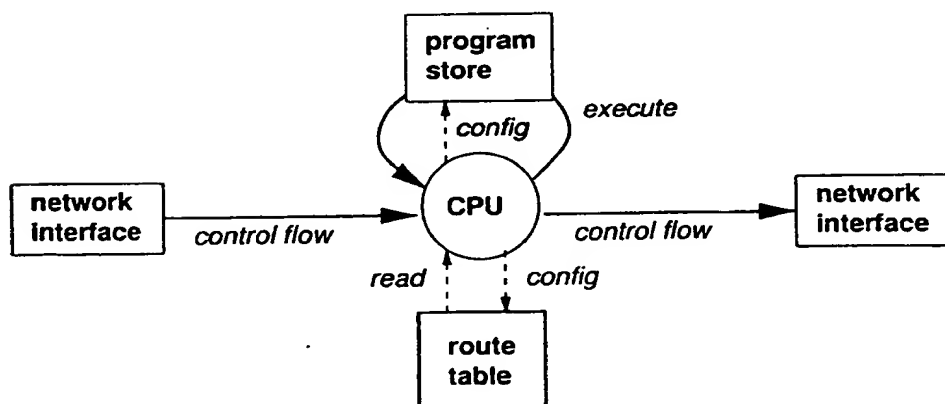


Fig. 3

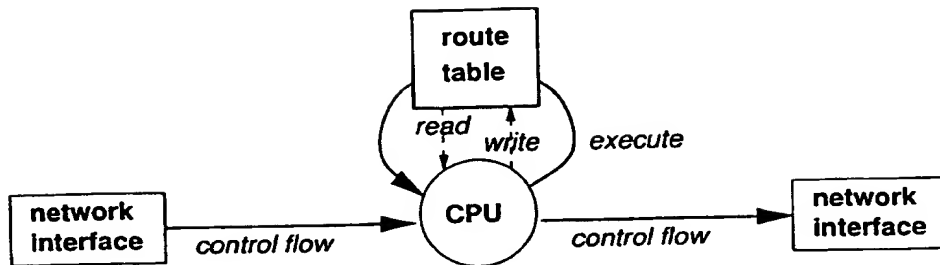


Fig. 4

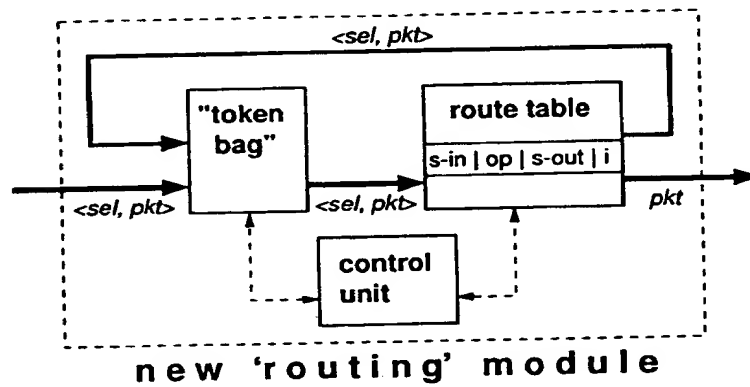


Fig. 5

**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☒ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**

This Page Blank (uspto)